



DEPARTMENT OF CORRECTIONS POLICIES AND PROCEDURES

Policy No.: DOC 1.3.39	Subject: SUPERVISORY NOTES
Chapter 1: ADMINISTRATION AND MANAGEMENT	Page 1 of 2, plus attachment
Section 3: Personnel	Revision Date:
Signature: /s/ by Director Rick Day 1/5/98	Effective Date: May 1, 1998

I. POLICY:

It is the policy of the Department of Corrections to encourage Department supervisors to maintain on-going written documentation of employee performance in order to record events.

II. AUTHORITY:

53-1-203, MCA. Powers and Duties of the Department

III. DEFINITIONS:

Supervisory Notes mean a record that supervisors are encouraged to keep in an ongoing effort to document employee performance. Guidelines for using supervisory notes are located in the Department of Administration Discipline Handling Guide.

IV. PROCEDURES:

A. Supervisory Notes may be utilized to:

1. provide objective written data for purposes of performance evaluation and assist the supervisor=s recall of the employee=s performance from the date of the last performance evaluation;
2. document positive and negative events; and
3. document the informal disciplinary measures of corrective counseling and oral warnings conducted with employees.

- B. Supervisory Notes do not themselves become part of the employee's personnel file. However, the content of the notes may become part of future disciplinary letters or performance appraisals.
- C. Supervisory Notes are for supervisor's internal use and are not used to provide references to prospective employers. Supervisory Notes may be transferred to another supervisor within the Department when the employee changes jobs.
- D. Supervisory Notes may be part of a progressive disciplinary procedure when they are used to document informal disciplinary action and to support formal disciplinary action that may be taken at a later date.
- E. Access to Supervisory Notes are limited to the employee, supervisor, higher management officials in the employee's chain of command, and committee members or hearing officers in any disciplinary action review.
- F. The employee may review notes that pertain specifically to the employee, only in the presence and with the approval of the Supervisor.
- G. The Supervisor shall discuss with the affected employee any entry which may lead to discipline or an unsatisfactory performance evaluation within a reasonable period of time. The discussion should be documented and that documentation initialed by the employee.
- H. Supervisory Notes will be kept in a secure area.
- I. Contents of Supervisory Notes are not grievable since they are not considered formal documents and are not part of the personnel file. An employee may respond in writing to an entry. If the employee does respond, the response will be attached to the entry. Supervisors should be aware of local labor contracts as they apply to supervisory notes.
- J. Attached is a suggested format for a Supervisory Note.

V. CLOSING:

Questions concerning this policy shall be directed to the facility/program Personnel Officer.

MONTANA DEPARTMENT OF CORRECTIONS
EMPLOYEE NOTICE TO CORRECT DEFICIENCIES

The Purpose of this notice is to call your attention to a deficiency and give you an opportunity to correct it. This is an informal disciplinary action. A copy of this notice will be placed in your supervisory notes and may be considered in future disciplinary actions.

Name of Employee: _____

Date: _____ Position: _____

Describe incident leading to this action (include dates, times and places of the event in question):

What Procedures or Policies were violated? _____

What problems/losses were caused by the Employee-s actions? (Give a specific description of the employee-s behavior; state facts, not conclusions): _____

Has the Employee been disciplined previously for similar violations? If yes, cite dates and actions taken: _____

What instructions or training will the Employee be given to prevent reoccurrence? _____

What will be the result of further violations? _____

Summary of your discussions with the Employee including what the Employee said in defense of his or her behavior: _____

Employee acknowledgment:

I acknowledge receipt of the above disciplinary action. My signature means that I am advised of this action; it does not necessarily mean that I agree with the contents.

Signature of Employee

Date

Signature of Supervisor

Date